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ATTORNEY DOCKET NO. 08523/005001

Applicant or Patentee : Judes Poirier  
Serial or Patent No. : 08/727,637  
Filed or Issued : February 21, 1997  
Title : APOLIPOPROTEIN E POLYMORPHISM AND TREATMENT OF ALZHEIMER'S DISEASE

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below;  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern: Nova Molecular, Inc.

Address of Small Business Concern: 5252 de Maisonneuve West, Suite 105, Montreal, Quebec, Canada

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled APOLIPOPROTEIN E POLYMORPHISM AND TREATMENT OF ALZHEIMER'S DISEASE by inventor Judes Poirier described in

- ☐ the specification filed herewith.  
☒ application serial no. 08/727,637, filed February 21, 1997.  
☐ patent no. ["PATENT NUMBER"], issued ["ISSUE DATE"].

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Assignee Name: McGill University

Assignee Address: 845 Sherbrook Street, West, Montreal, Quebec, H3A 2T5 CANADA

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent on which this verified statement is directed.

Name: Laurent Nadeau

Title: Chairman & C.E.O.

Address: Nova Molecular, Inc. 5252 de Maisonneuve West, Suite 105, Montreal, Quebec, Canada

Signature: [Signature] Date: April 22, 1998

Applicant or Patentee : Judes Poirier  
 Serial or Patent No. : 08/727,637  
 Filed or Issued : February 21, 1997  
 Title : APOLIPOPROTEIN E POLYMORPHISM AND TREATMENT OF ALZHEIMER'S DISEASE

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
 (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: McGill University  
 Address of Organization: 845 Sherbrook Street, West, Montreal, Quebec, H3A 2T5 CANADA  
 Type of Organization:

- ☐ University or Other Institution of Higher Education  
☐ Tax Exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))  
☒ Nonprofit Scientific or Educational under Statute of State of the United States of America  
 Name of State:  
 Citation of Statute:  
☐ Would Qualify as Tax Exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)) if Located in the United States of America  
☐ Would Qualify as Nonprofit Scientific or Educational under Statute of State of the United States of America if Located in the United States of America  
 Name of State:  
 Citation of Statute:

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled APOLIPOPROTEIN E POLYMORPHISM AND TREATMENT OF ALZHEIMER'S DISEASE by inventor Judes Poirier described in

- ☐ the specification filed herewith.  
☒ application serial no. 08/727,637, filed February 21, 1997.  
☐ patent no. ["PATENT NUMBER"], issued ["ISSUE DATE"].

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Full Name: Nova Molecular, Inc.  
 Address: 5252 de Maisonneuve West, Suite 105, Montreal, Quebec, Canada  
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.23(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name: Mrs. Victoria Lees, Ph.D.

Title: Secretary General

Address: 845 Sherbrook Street, West, Montreal, Quebec, H3A 2T5 CANADA

Signature: Victoria Lees

Date: April 20, 1998

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below my name

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **APOLIPOPROTEIN E POLYMORPHISM AND TREATMENT OF ALZHEIMER'S DISEASE**, the specification of which

☒ is attached hereto.

☐ was filed on \_\_\_\_\_ as Application Serial No. \_\_\_\_\_

\_\_\_\_\_ and was amended on \_\_\_\_\_.

☒ was described and claimed in PCT International Application No. PCT/CA95/00240 filed on 26 April 1995 and was amended on 31 July 1996.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information I know to be material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

COUNTRY	APPLICATION NO.	FILING DATE	PRIORITY CLAIMED
GB	9408465.4	April 27, 1994	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose all information I know to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56(a) which became available between the filing date of the prior application and the national or PCT international filing date of this application:

U.S. SERIAL NO.	FILING DATE	STATUS
_____	_____	<input checked="" type="checkbox"/> Pending <input type="checkbox"/> Issued <input type="checkbox"/> Abandoned

I hereby appoint the following attorneys and/or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Kristina Bieker-Brady, Reg. No. 39,109 and Paul T. Clark Reg. No. 30,162

Address all telephone calls to Kristina Bieker-Brady at telephone number 617/542-5070.

Address all correspondence to Kristina Bieker-Brady, Fish & Richardson P.C., 225 Franklin Street, Boston, MA 02110-2804.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

## COMBINED DE [REDACTED] ATION AND POWER OF ATTORNEY CONTINUED

Full Name of Inventor: Judes Poirier

Date: 5 NOVEMBER 96

Residence Address: Boisbriand, Quebec, Canada

**Citizen of:** Canada

Post Office Address: 113 Courcelles Street, Boisbriand, Quebec, J7G 2T6 Canada

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